

01-25-02

A  
Patent  
14983/70Please type a plus sign (+) inside this box → 

PTO/SB/05 (03-01)

Approved for use through 10/31/2002 OMB 0651-0032

Patent and Trademark Office: U S DEPARTMENT OF COMMERCE

Under the paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No	30GF-9097
First Inventor	William M. Huntley, Jr., et al.
Title	METHODS AND SYSTEMS FOR MANAGEMENT AND CONTROL OF AN AUTOMATION CONTROL MODULE
Express Mail Label No.	EL752186959US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)

2.  Application claims small entity status.  
See 37 CFR 1.27

3.  Specification [ Total Pages  ]  
(Preferred arrangement set forth below)

- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4.  Drawing(s) (35 USC 113) [ Total Sheets  ]

5. Oath or Declaration [ Total Pages  ]

a.  Newly executed (original or copy)

b.  Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)

i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).

6.  Application Data Sheet. See 37 CFR 1.76

Commissioner for Patents  
ADDRESS TO: Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
(If applicable, all necessary)

a.  Computer Readable Form (CRF)

b. Specification Sequence Listing on:
 

- i.  CD-ROM or CD-R (2 copies); or
- ii.  paper

c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))

10.  37 CFR 3.73(b) Statement  
(when there is an assignee)  Power of Attorney

11.  English Translation Document (if applicable)

12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS  
Statement (IDS)/PTO-1449  Citations

13.  Preliminary Amendment

14.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

15.  Certified Copy of Priority Document(s)  
(If foreign priority is claimed)

16.  Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or  
its equivalent.

17.  Other: Certificate of express mail

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation       Divisional       Continuation-in-part (CIP)      of prior application No.: \_\_\_\_\_/

Prior application information:

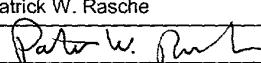
Examiner \_\_\_\_\_

Group/Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	(Insert Custom No or Attach bar code label here)			<input checked="" type="checkbox"/> Correspondence address below
Name	John S. Beulick			
Address	Armstrong Teasdale LLP			
City	St. Louis	State	Missouri	Zip Code
Country	US	Telephone	(314) 621-5070	Fax

Name (Print/type)	Patrick W. Rasche	Registration No. (Attorney/Agent)	37,916
Signature		Date	January 23, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Office, Patent and trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Express Mail No. EL752186962US  
(14983/70)

PTO/SB/17 (10/01)

Approved for use through 10/31/2002 OMB 0651-0032  
U S Patent and Trademark Office US DEPARTMENT OF COMMERCE

Under the paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

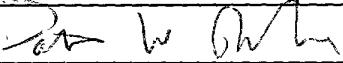
## FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

		Complete If Known	
		Application Number	
		Filing Date	January 23, 2002
		First Named Inventor	William M Huntley, Jr , et al
		Group Art Unit	
		Examiner Name	
TOTAL AMOUNT OF PAYMENT		(\$ 1,032.00)	Attorney Docket Number
			30GF-9097

METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)																																																																																																																											
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number <input type="text" value="01-2384"/></p> <p>Deposit Account Name <input type="text"/></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p>				<p>3 ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65 Surcharge - late filing fee or oath</td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25 Surcharge-late provisional filing fee or cover sheet</td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130 Non-English specification</td></tr> <tr><td>147</td><td>2520</td><td>147</td><td>2520 For filing a request for ex parte reexamination</td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920* Requesting publication of SIR prior to Examiner action</td></tr> <tr><td>113</td><td>1840*</td><td>113</td><td>1840*Requesting publication of SIR after Examiner action</td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55 Extension for reply within first month</td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200 Extension for reply within second Month</td></tr> <tr><td>117</td><td>920</td><td>217</td><td>460 Extension for reply within third month</td></tr> <tr><td>118</td><td>1440</td><td>218</td><td>720 Extension for reply within fourth month</td></tr> <tr><td>128</td><td>1960</td><td>228</td><td>980 Extension for reply within fifth month</td></tr> <tr><td>119</td><td>320</td><td>219</td><td>160 Notice of Appeal</td></tr> <tr><td>120</td><td>320</td><td>220</td><td>160 Filing a brief in support of an appeal</td></tr> <tr><td>121</td><td>280</td><td>221</td><td>140 Request for oral hearing</td></tr> <tr><td>138</td><td>1510</td><td>138</td><td>1510 Petition to institute a public use proceeding</td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55 Petition to revive – unavoidable</td></tr> <tr><td>141</td><td>1280</td><td>241</td><td>640 Petition to revive – unintentional</td></tr> <tr><td>142</td><td>1280</td><td>242</td><td>640 Utility issue fee (or reissue)</td></tr> <tr><td>143</td><td>460</td><td>243</td><td>230 Design issue fee</td></tr> <tr><td>144</td><td>620</td><td>244</td><td>310 Plant issue fee</td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130 Petitions to the Commissioner</td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50 Petitions related to provisional applications</td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180 Submission of Information Disclosure Stmt</td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40 Recording each patent assignment per property (times number of properties)</td></tr> <tr><td>146</td><td>740</td><td>246</td><td>370 Filing a submission after a final rejection (37-CFR 1.129(a))</td></tr> <tr><td>149</td><td>740</td><td>249</td><td>370 For each additional invention to be examined (37 CFR 1.129(b))</td></tr> <tr><td>179</td><td>740</td><td>279</td><td>370 Request for Continued Examination (RCE)</td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900 Request for expedited examination of a design application</td></tr> <tr><td colspan="4">Other fee (specify) _____</td></tr> </tbody> </table>				Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105	130	205	65 Surcharge - late filing fee or oath	127	50	227	25 Surcharge-late provisional filing fee or cover sheet	139	130	139	130 Non-English specification	147	2520	147	2520 For filing a request for ex parte reexamination	112	920*	112	920* Requesting publication of SIR prior to Examiner action	113	1840*	113	1840*Requesting publication of SIR after Examiner action	115	110	215	55 Extension for reply within first month	116	400	216	200 Extension for reply within second Month	117	920	217	460 Extension for reply within third month	118	1440	218	720 Extension for reply within fourth month	128	1960	228	980 Extension for reply within fifth month	119	320	219	160 Notice of Appeal	120	320	220	160 Filing a brief in support of an appeal	121	280	221	140 Request for oral hearing	138	1510	138	1510 Petition to institute a public use proceeding	140	110	240	55 Petition to revive – unavoidable	141	1280	241	640 Petition to revive – unintentional	142	1280	242	640 Utility issue fee (or reissue)	143	460	243	230 Design issue fee	144	620	244	310 Plant issue fee	122	130	122	130 Petitions to the Commissioner	123	50	123	50 Petitions related to provisional applications	126	180	126	180 Submission of Information Disclosure Stmt	581	40	581	40 Recording each patent assignment per property (times number of properties)	146	740	246	370 Filing a submission after a final rejection (37-CFR 1.129(a))	149	740	249	370 For each additional invention to be examined (37 CFR 1.129(b))	179	740	279	370 Request for Continued Examination (RCE)	169	900	169	900 Request for expedited examination of a design application	Other fee (specify) _____			
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																												
105	130	205	65 Surcharge - late filing fee or oath																																																																																																																												
127	50	227	25 Surcharge-late provisional filing fee or cover sheet																																																																																																																												
139	130	139	130 Non-English specification																																																																																																																												
147	2520	147	2520 For filing a request for ex parte reexamination																																																																																																																												
112	920*	112	920* Requesting publication of SIR prior to Examiner action																																																																																																																												
113	1840*	113	1840*Requesting publication of SIR after Examiner action																																																																																																																												
115	110	215	55 Extension for reply within first month																																																																																																																												
116	400	216	200 Extension for reply within second Month																																																																																																																												
117	920	217	460 Extension for reply within third month																																																																																																																												
118	1440	218	720 Extension for reply within fourth month																																																																																																																												
128	1960	228	980 Extension for reply within fifth month																																																																																																																												
119	320	219	160 Notice of Appeal																																																																																																																												
120	320	220	160 Filing a brief in support of an appeal																																																																																																																												
121	280	221	140 Request for oral hearing																																																																																																																												
138	1510	138	1510 Petition to institute a public use proceeding																																																																																																																												
140	110	240	55 Petition to revive – unavoidable																																																																																																																												
141	1280	241	640 Petition to revive – unintentional																																																																																																																												
142	1280	242	640 Utility issue fee (or reissue)																																																																																																																												
143	460	243	230 Design issue fee																																																																																																																												
144	620	244	310 Plant issue fee																																																																																																																												
122	130	122	130 Petitions to the Commissioner																																																																																																																												
123	50	123	50 Petitions related to provisional applications																																																																																																																												
126	180	126	180 Submission of Information Disclosure Stmt																																																																																																																												
581	40	581	40 Recording each patent assignment per property (times number of properties)																																																																																																																												
146	740	246	370 Filing a submission after a final rejection (37-CFR 1.129(a))																																																																																																																												
149	740	249	370 For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																												
179	740	279	370 Request for Continued Examination (RCE)																																																																																																																												
169	900	169	900 Request for expedited examination of a design application																																																																																																																												
Other fee (specify) _____																																																																																																																															
<p>2. <input type="checkbox"/> Payment Enclosed</p> <p><input type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>				<p>FEE CALCULATION</p> <p>1. BASIC FILING FEE</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101</td><td>740</td><td>201</td><td>370 Utility Filing Fee <input type="text" value="740.00"/></td></tr> <tr><td>106</td><td>330</td><td>206</td><td>165 Design Filing Fee <input type="text"/></td></tr> <tr><td>107</td><td>510</td><td>207</td><td>255 Plant Filing Fee <input type="text"/></td></tr> <tr><td>108</td><td>740</td><td>208</td><td>370 Reissue filing Fee <input type="text"/></td></tr> <tr><td>114</td><td>160</td><td>214</td><td>80 Provisional Filing Fee <input type="text"/></td></tr> <tr><td colspan="3">SUBTOTAL (1)</td><td>740.00</td></tr> </tbody> </table> <p>2. EXTRA CLAIM FEES</p> <table border="1"> <thead> <tr> <th>Total Claims</th> <th>Independent Claims</th> <th>Extra Claims</th> <th>Fee From Below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>46</td><td>4</td><td>-20**</td><td>26 x 18.00</td><td>= \$208.00</td></tr> <tr><td>1</td><td>1</td><td>-3*</td><td>1 x 84.00</td><td>= 84.00</td></tr> <tr><td colspan="4">Multiple Dependant</td><td><input type="text"/></td></tr> </tbody> </table> <p>Large Entity Fee Code (\$)</p> <table border="1"> <thead> <tr> <th>103</th> <th>18</th> <th>203</th> <th>9</th> <th>Claims in excess of 20</th> </tr> </thead> <tbody> <tr><td>102</td><td>84</td><td>202</td><td>42</td><td>Independent claims in excess of 3</td></tr> <tr><td>104</td><td>280</td><td>204</td><td>140</td><td>Multiple dependent claim, if not paid</td></tr> <tr><td>109</td><td>84</td><td>209</td><td>42</td><td>**Reissue independent claims over original patent</td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9</td><td>**Reissue claims in excess of 20 and over original patent</td></tr> </tbody> </table> <p>SUBTOTAL (2) <input type="text" value="292.00"/></p> <p>**or number previously paid, if greater; For Reissues, see above</p>				Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	101	740	201	370 Utility Filing Fee <input type="text" value="740.00"/>	106	330	206	165 Design Filing Fee <input type="text"/>	107	510	207	255 Plant Filing Fee <input type="text"/>	108	740	208	370 Reissue filing Fee <input type="text"/>	114	160	214	80 Provisional Filing Fee <input type="text"/>	SUBTOTAL (1)			740.00	Total Claims	Independent Claims	Extra Claims	Fee From Below	Fee Paid	46	4	-20**	26 x 18.00	= \$208.00	1	1	-3*	1 x 84.00	= 84.00	Multiple Dependant				<input type="text"/>	103	18	203	9	Claims in excess of 20	102	84	202	42	Independent claims in excess of 3	104	280	204	140	Multiple dependent claim, if not paid	109	84	209	42	**Reissue independent claims over original patent	110	18	210	9	**Reissue claims in excess of 20 and over original patent																																															
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																												
101	740	201	370 Utility Filing Fee <input type="text" value="740.00"/>																																																																																																																												
106	330	206	165 Design Filing Fee <input type="text"/>																																																																																																																												
107	510	207	255 Plant Filing Fee <input type="text"/>																																																																																																																												
108	740	208	370 Reissue filing Fee <input type="text"/>																																																																																																																												
114	160	214	80 Provisional Filing Fee <input type="text"/>																																																																																																																												
SUBTOTAL (1)			740.00																																																																																																																												
Total Claims	Independent Claims	Extra Claims	Fee From Below	Fee Paid																																																																																																																											
46	4	-20**	26 x 18.00	= \$208.00																																																																																																																											
1	1	-3*	1 x 84.00	= 84.00																																																																																																																											
Multiple Dependant				<input type="text"/>																																																																																																																											
103	18	203	9	Claims in excess of 20																																																																																																																											
102	84	202	42	Independent claims in excess of 3																																																																																																																											
104	280	204	140	Multiple dependent claim, if not paid																																																																																																																											
109	84	209	42	**Reissue independent claims over original patent																																																																																																																											
110	18	210	9	**Reissue claims in excess of 20 and over original patent																																																																																																																											
				<p>*Reduced by Basic Filing Fee Paid <input type="text"/></p> <p>SUBTOTAL (3) <input type="text"/></p>																																																																																																																											

### SUBMITTED BY

Name (Print/Type)	Patrick W. Rasche	Registration No. (Attorney/Agent)	37,916	Telephone	(314) 621-5070
Signature				Date	January 23, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Office, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PATENT  
14983/70

**CERTIFICATE OF MAILING BY EXPRESS MAIL TO  
THE COMMISSIONER OF PATENTS AND TRADEMARKS**

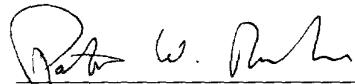
Express Mail mailing label number: EL752186959US

Date of Mailing: January 23, 2002

I certify that the following documents in connection with the patent application of **William M. Huntley, Jr., et al.**, for **METHODS AND SYSTEMS FOR MANAGEMENT AND CONTROL OF AN AUTOMATION CONTROL MODULE**, (Attorney Docket No.: 30GF-9097), including:

- Certificate of Mailing via Express Mail (1 pg.)
- Utility Patent Application Transmittal (1 pg.)
- Utility Patent Application (18 pgs.)
  - Specification (9 pgs.)
  - Claims (8 pgs.)
  - Abstract (1 pg.)
- Utility Patent Application Fee Transmittal (1 pg. in duplicate)
- Seven (7) sheets of Formal Drawings
- Return postcard
- Declaration/Power of Attorney (3 pgs.)
- Recordation of Assignment Cover Sheet (1 pg. in duplicate)
- Assignment (3 pgs.)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above in an envelope addressed to Box Patent Application, Commissioner for Patents, Washington, D.C. 20231.



Patrick W. Rasche  
Registration No. 37,916  
Armstrong Teasdale LLP  
One Metropolitan Square, Suite 2600  
St. Louis, MO 63102  
314/621-5070